



State of Arizona
Department of Education

SCHOOL FINANCE MEMORANDUM 13-046

To: Charter School Operators, Charter School Sponsors, Charter Business Managers, Charter Principals and Administrators, and All Charter Schools

From: Lyle Friesen, Director of School Finance

Date: June 7, 2013

Subject: Charter School Estimated Student Enrollment List Collection for FY 2014

REQUIREMENTS

- Pursuant to [A.R.S. 15-185\(B\)\(2\)](#) the student count of a charter school shall be determined initially by using an estimated count based on actual registration of pupils before the beginning of the school year.
- Estimated count means the **projected ADM** for the current fiscal year, NOT the “head count” of the pupils enrolled. **Note:** School Finance will be offering a webinar for new charter schools in the near future. Details will be posted in Hot Topics on the [School Finance web site](#). Please check this page often for updates.
- The charter school sponsors (Charter Board, Arizona State University, districts, etc.) may require charter schools to have specific student and parent information on file for any student who is recorded on the estimated list. The required information for the State Charter Board-sponsored schools can be found on the Board’s website at: <http://www.asbcs.az.gov/pdf/Board%20Policies/EstEnrollmentDataRequirement.pdf> . For all other sponsored schools, please contact the sponsor directly for their requirements.
- The initial Estimated Count list must not exceed the actual registration of pupils.
- After school begins, but before each of the listed due dates, the name of any student who has not participated in instruction must be removed from the list. Failure to remove students who are not receiving instruction can cause over-funding and will be appropriately adjusted and could result in a reduced or non-payment status once the payment is based on the actual data submitted to SAIS.
- Students whose names were not on the initial Estimated Count list may be added at any time the application is available until the last due date. Should the use of Estimated Counts extend beyond the schedule listed on Page 3, the application will be opened for a short window each month, by request only, for any charter school needing to update data.
- Charter school operators are not obligated to list every student.
- All charter school operators, including operators of district-sponsored charter schools, must submit a student list to ADE for each charter site using the Charter Estimated Counts on-line application.





- Per [A.R.S. §15-185\(A\)\(3\)](#), district sponsored charter schools (DSCSs) may NOT report charter school pupils who were previously enrolled in the school district for funding during the first year of the charter school's operation.
- ADE will NOT pre-populate the Charter Estimated Counts application with student information from the previous school year.
- The initial payment of state aid will be delayed if the deadlines specified on Page 12 for the Charter Estimated Counts list and the LEA Calendar have not been met.
- The Charter Estimated Counts on-line application allows a charter to identify if a student is AOI full-time or AOI part-time. If the charter is identified as an AOI school (an online school), the application will display a checkbox showing "Full-time AOI" and "Part-time AOI." The default status is "Full-time AOI."
- Please make sure to check your Estimated Counts and your SAIS data for accuracy. Your successful submission of this data will result in an accurate and expected state aid payment. Failure to verify your Estimated Counts, SAIS data and student detail reports may result in students not generating ADM and therefore a less-than-expected payment or a non-payment. If you have questions regarding how to verify your data or if you are not able to successfully submit your student detail data, please contact your account analyst at

<http://www.azed.gov/Administrators/SF/Lists/LEAAccountAnalysts/AllItems.aspx>

NEW FOR FY 2014

The Student List in the Charter Estimated Counts application will be modified to add a "Delete All Students" link. This will eliminate the need to delete students one by one when a charter wants to delete all of its students.



PROCESS AND PROCEDURES

Charter school student lists are submitted to ADE via the Charter Estimated Counts on-line application. This application is accessible through the Common Logon web page at www.ade.az.gov/commonlogon, and provides two options for submitting the data:

- 1 Manual entry of each student using the form fields provided within the application.

Charter Estimated Counts - FY 2014

Charter School Name Add Students

Charter Holders > Charter Schools > Student List > Add Upload Files :: 2013 / 2014 :: Help :: Exit

Enter the requested information in the form below and click the Submit button to record the new student. Click the Cancel button to abort and return to the student list.

Last Name:

First Name:

Middle Initial:

Birth Date (MM/DD/YYYY):

Previous LEA:

Grade Level:

SPED Category: (None)

Service Type: (None)

ELL Status: No

AOT Status: Full Time AOT

- 2 Upload of a properly formatted data file (comma-delimited text file).

Please refer to Pages 4 and 5 for the data submission requirements and file specifications.

Note: Student names can only be deleted from the Charter Estimated Count by using the on-line application.

Until Average Daily Membership can be calculated from SAIS after the 40th day of school, payments are based on the estimated count (projected ADM) and are scheduled on the first business day of the month from August to May and the first and last business day in June. **Please remember to continually and carefully review the charter student list for duplicates or erroneous entries that will require correction before the application is locked to capture the data for payment.** The Estimated Count student list is due before 4:30 p.m. on the due dates listed below. After 4:30 p.m., the Charter Estimated Counts application will be administratively locked until the next month's submission date. A summary report of the charter's submission will be posted to the charter school's home page on the ADE School Finance website: <http://www.ade.az.gov/Districts/EntitySelection.asp> within the five business days after each due date. It is the responsibility of each charter school to verify that the information posted on the summary report correctly reflects the sum of the student-level data that was submitted by one of the two data submission processes.





Student level data on the Charter Estimated Count List will be used as the basis for calculating State Aid as displayed in the table below:

For Payment Date:	Estimated Counts Submission START DATE	Estimated Counts Submission DEADLINE (by 4:30 p.m.)
August 1, 2013	June 7, 2013	July 12, 2013
September 2, 2013	August 5, 2013	August 15, 2013
October 1, 2013	September 5, 2013	September 12, 2013
November 1, 2013 *	Paid on SAIS 40 th day ADM, unless Charter Holder has not reached the 40 th day of school.	See Account Analyst

*** Note:** If payments are based on estimated counts beyond the dates scheduled above, it is the charter school's responsibility to request that a window be opened in any month to make changes to estimated counts. **A window will only be opened by request.** The school name and CTDS number should be submitted via e-mail to the [LEA Account Analyst](#) and a window will be opened in the appropriate time frame (generally early in the month before the next payment is calculated).

DATA SUBMISSION REQUIREMENTS

The following definitions and descriptions of the student level data apply to on-line manual entry into the application and the comma-delimited text file.

1. Data must be submitted at the site level. **The CTDS number ending in 000 represents the holder level, not the site level, with the exception of DSCS).** One data file must be submitted for each charter school site. If the charter holder is represented by two or more charter school sites, then a separate file must be completed and submitted for each. When saving the file(s), please use the charter school site level number in the name of the file. The site level number is equal to the last three digits of the charter school CTDS number. For example, Bright Blue Charter School has two charter schools. The charter school site CTDS numbers end in 101 and 102, respectively. Therefore, school site 101 will submit a data file as BrightBlue101.txt and school site 102 will submit a separate data file as BrightBlue102.txt.
2. Data must be submitted electronically using the Charter Estimated Counts on-line application. ADE will not accept any student-level data not submitted via the on-line application.
3. Charter schools will be required to identify if a student is non-AOI, AOI Full-Time or AOI Part-Time. This is a required field for all students being submitted using a comma delimited text file. Please see Page 5 for the file specifications.



Specifications For Using Comma-Delimited Text Files

For those using the text file upload option, the first row must contain data header fields, and all subsequent rows must contain student data. All values must be surrounded by double quotes and separated by commas. Each row of the text file must end with carriage return and line feed characters. Check the example below for an illustration of these requirements.

Data Header Definitions

Data Field	Definition	Data Format
CTDS Number	County-Type-District-Site (No dashes example: 018701101)	Text
Charter Name	Name of Charter Holder	Text
Charter Site Name	Name of Site	Text
Contact Name	Name of contact to address questions to.	Text
Contact Telephone	Phone number of contact.	Text
Contact e-mail	E-mail address of contact.	Text

Note: Address and contact information listed on this form does not change the official information approved in your contract. The charter school must follow the sponsor's policy to change chartered contract information.

Student List Definitions and Formats

Data Field	Definition	Data Format	Maximum Field Length
First Name	First Name	Text	Up to 20 characters
MI	Middle Initial	Text	Blank or 1 character
Last Name	Last Name	Text	Up to 30 characters
Birth Date	Birth Date	Numeric (MMDDYY)	6 Digits
* Previous LEA	The name of the district or charter school the student attended in the previous school year OR the ISEP/non-ISEP data if applicable. (Please refer to asterisk below).	Text	Up to 80 characters
Level	The student's grade for the upcoming school year.	Text: KG, 01, 02, 03, 04, 05, 06, 07, 08, 09, 10, 11, 12	2 characters
** SPED Category	Please refer to the expanded category definition on page 8. (Please refer to asterisks on Page 7).	Text: A, DD,ED, EDP, HI, MD, MDSSI, MIMR, MOMR, OHI, OI, SLD, SLI, SMR, TBI, VI	Blank or up to 5 characters
Service Type	Please refer to the expanded service type definitions on Pages 8 - 11.	Text: A, B, C, D, E, EA, EB, EC FA, FB, FC, H, I, J	Blank , 1 or 2 characters
ELL Status	Will ELL services be provided?	Text: Y = Yes; N = No or Blank = No	Blank or 1 character
AOI Status	Is student non-AOI, AOI Full-Time, or AOI Part-Time?	Text: Non AOI = NON; AOI Full-Time = FT; AOI Part-Time = P	2 or 3 characters

Example of Text File Format

```
"018756001","Sample CharterHolder","Sample CharterSite","Joe Smith","(602) 555-5555","joesmith@email.com"
"Joe","","Jones","010185","Previous Charter 1","01","","","Y","Non"
"Susie","H","Smith","020288","Previous Charter 2","03","A","A","N","FT"
```

* Charter schools receiving federal Indian School Equalization Program (ISEP) funds must report data used in the calculation of State Aid separately for the ISEP students and non-ISEP students. This allows ADE to accurately apply A.R.S. §15-185 (D) only to the State Aid generated by the ISEP-funded students. Non-ISEP students will generate monthly State Aid for the charter. Students who are funded by ISEP will not be included in the student count to generate state funding. For reporting purposes, all students must be identified as either "ISEP" or "non-ISEP" in the "Previous LEA" field of the Charter Estimated Counts application. Once SAIS reporting begins, all ISEP students must be submitted with a Tuition Payer Code = 6 to ensure they are excluded from state funding.





SPECIAL EDUCATION ELIGIBILITY REQUIREMENTS

Special Education students may be reported on the Estimated Counts Student List if all eligibility requirements are met when registering for the upcoming school year. The charter is strongly encouraged to be conservative in the submission of the estimates. It is important to note that once actual SPED counts are calculated from data submitted to SAIS, an overestimated SPED count may result in a non-payment status for one or more months for the charter.

The IEP team determines the category under which a student is eligible to receive services once a student has been evaluated. It is possible for a student to be eligible to receive special education services in more than one category. If this is the case, **only submit the highest weighted (primary) category for the student. No student should be submitted more than once to the estimated counts application.** Please refer to the Budget Worksheets for the special education weights. The budget worksheets with the updated weights for FY 2014 will be available by June 7, 2013. **If there is any uncertainty regarding the student's category and/or service type, or if an IEP is not on file, the charter is encouraged to contact their specialist in ADE's Exceptional Student Services (ESS) unit.** All funding for any eligible special education student not claimed during the estimated counts period will be retroactive to the beginning of the fiscal year once payment begins from the actual SPED data resident in SAIS.

Rosa's Law

Public Law 111-256, commonly known as "Rosa's Law," changes "mental retardation" terminology to "intellectual disability." The abbreviation "MR" is replaced with "ID" to agree with the modified terminology. ADE is working to modify SAIS and non-SAIS applications and reports to align with Rosa's Law. The changes are expected to be implemented during FY2014.

The table below provides a crosswalk of the codes and descriptions.

Former Code	Former Description	New Code	New Description
MIMR	Mild Mental Retardation	MIID	Mild Intellectual Disability
MOMR	Moderate Mental Retardation	MOID	Moderate Intellectual Disability
SMR	Severe Mental Retardation	SID	Severe Intellectual Disability



SAIS Codes Applicable to Special Education (SPED) – From Fiscal Year 2013 to Present

Note: All code values used in SAIS are officially defined in “Student Database Transaction Requirements - Transaction Code Values” located on the ADE web site at <http://www.azed.gov/student-accountability/files/2011/12/sais-transaction-code-values.pdf>

Code	Description	Code	Description
A	Autism	OHI	Other Health Impairment
DD	Developmental Delay	OI	Orthopedic Impairment
ED	Emotional Disability	SLD	Specific Learning Disability
EDP	Emotional Disability (Separate Facility, Private School)	SLI	Speech/Language Impairment
HI	Hearing Impairment	SMR	Severe Mental Retardation/ Severe Intellectual Disability
MD	Multiple Disabilities	TBI	Traumatic Brain Injury
MDSSI	Multiple Disabilities Severe Sensory Impairment	VI	Visual Impairment
MIMR	Mild Mental Retardation/Mild Intellectual Disability	PSD	Preschool Severe Delay
MOMR	Moderate Mental Retardation/ Moderate Intellectual Disability		

****** If a Special Education category is listed for a student, then a service type must also be listed. Special Education funding will not be distributed if both the category and service type are not provided. Please contact the ESS Unit with any questions regarding the categories or service types for Special Education. Contact ESS by phone at (602) 542-4013 or by e-mail at ESSDataMgmt@azed.gov.



SPED School Age Service Codes

Service Codes Effective FY2014

Service code should be determined by location (not by amount of SPED services received)

Grade	Service Code	Description	Eligible for State Aid	Eligible for Federal Funding	Self-Contained or Resourced
K-12	A	Inside Regular Class 80% or more of the day. (These are children who received special education and related services outside the regular class for less than 21% of the school day.) This may include children placed in: regular class with special education/related services provided within regular classes; regular class with special education/related services provided outside the regular classes; or regular class with special education services provided in resource rooms.	Yes	Yes	R
K-12	B	Inside Regular Class for not more than 79% of day and no less than 40% of the day. (These are children who received special education and related services outside the regular classroom for at least 21% but no more than 60% of the school day.) This may include children placed in: resource rooms with special education/related services provided within the resource room; or resource rooms with part-time instruction in a regular class.	Yes	Yes	R
K-12	C	Inside Regular Class less than 40% of the day. (These are children who received special education and related services outside the regular classroom for more than 60% of the school day.) This may include children placed in: self-contained special classrooms with part-time instruction in a regular class; or self-contained special classrooms with full-time special education instruction on a regular school campus.	Yes	Yes	SC
K-12	D	Public or Private Separate Day School for greater than 50% of the school day. This may include children placed in: public and private day schools for students with disabilities for a portion of the school day (greater than 50%) and in regular school buildings for the remainder of the school day; or public and private residential facilities if the student does NOT LIVE at the facility.	Yes	Yes	SC





SPED School Age Service Codes (Continued)

Grade	Service Code	Description	Eligible for State Aid	Eligible for Federal Funding	Self-Contained or Resourced
K-12	E	Public or Private Residential Facility for greater than 50% of the school day. Received education programs and lived in the public or private residential facilities during the school week. This may include children placed in: public and private residential schools for students with disabilities; or public and private residential schools for students with disabilities for a portion of the school day (greater than 50%) and in separate day schools or regular school buildings for the remainder of the school day.	Yes ¹	Yes	SC
K-12	EA	Public or Private Residential Facility for greater than 50% of the school day – placed by another state agency (not an IEP team decision) with code A. Placed in public or private residential facility receiving services inside regular class 80% or more of the day. Received education programs and lived in the public or private residential facilities during the school week. This may include children placed in: public and private residential schools for students with disabilities; or public and private residential schools for students with disabilities for a portion of the school day (greater than 50%) and in separate day schools or regular school buildings for the remainder of the school day.	Yes ¹	Yes	R
K-12	EB	Public or Private Residential Facility for greater than 50% of the school day – placed by another state agency (not an IEP team decision) with code B. Placed in public or private residential facility receiving services inside regular class 40-79% of the day. Received education programs and lived in the public or private residential facilities during the school week. This may include children placed in: public and private residential schools for students with disabilities; or public and private residential schools for students with disabilities for a portion of the school day (greater than 50%) and in separate day schools or regular school buildings for the remainder of the school day	Yes ¹	Yes	R

1. State funding for students with disabilities is provided through voucher funds to the private or public facility serving the students.



SPED School Age Service Codes (Continued)

Grade	Service Code	Description	Eligible for State Aid	Eligible for Federal Funding	Self-Contained or Resourced
K-12	EC	Public or Private Residential Facility for greater than 50% of the school day – placed by another state agency (not an IEP team decision) with code C. Placed in public or private residential facility receiving services inside regular class less than 40% of the day. Received education programs and lived in the public or private residential facilities during the school week. This may include children placed in: public and private residential schools for students with disabilities; or public and private residential schools for students with disabilities for a portion of the school day (greater than 50%) and in separate day schools or regular school buildings for the remainder of the school day	Yes ¹	Yes	SC
	FA	Correctional Facilities with code A. Received special education inside regular class 80% or more of the day in: short-term detention facilities (community-based or residential); or correctional facilities.	Yes	Yes	R
	FB	Correctional Facilities with code B. Received special education inside regular class 40-79% of the day in: short-term detention facilities (community-based or residential); or correctional facilities.	Yes	Yes	R
	FC	Correctional Facilities with code C. Received special education inside regular class less than 40% of the day in: short-term detention facilities (community-based or residential); or correctional facilities.	Yes	Yes	SC

1. State funding for students with disabilities is provided through voucher funds to the private or public facility serving the students.





SPED School Age Service Codes (Continued)

Grade	Service Code	Description	Eligible for State Aid	Eligible for Federal Funding	Self-Contained or Resourced
	H	Homebased/homebound/hospital program. Received education programs in homebased/homebound/hospital environment that includes children with disabilities placed in and receiving special education and related services in: hospital programs; homebound or homebased programs.	Yes	Yes	R
	I	Services provided in a regular classroom. The only disability categories that can be reported here are MD, A, SMR, and OI.	Yes	Yes	SC
	J	Private School placement, enrolled by parent(s). Students enrolled by parents or guardians in regular parochial or other private schools who receive special education and related services under a service plan. There is no entitlement to special education and related services. However, PEA must expend proportionate amount of federal funding on students in this type of private placement. This also includes children who are homeschooled.	No	Yes	R





Charter School State Aid Requirements Checklist for Release of Fiscal Year 2014 State Aid

To be eligible for funding for Fiscal Year 2014 (School Year 2013-2014), all charter schools, regardless of sponsorship, must verify that all materials have been submitted per the requirements within the specified timelines. It is the responsibility of each charter school to verify that the deadlines for the Charter School Estimated Student Enrollment List and the Local Education Agency Calendar have been met prior to the distribution of funds.

Checklist		
The following items must be received by ADE School Finance on or before 4:30 p.m. of the specified deadline for the initial release of any Fiscal Year 2014 state aid payments.		Deadline
<p><i>Local Education Agency (LEA) Calendar</i></p> <ul style="list-style-type: none"> • Enter using the LEA Calendar application through Common Logon. • See ADE School Finance Memorandum 13-048 • New charters can enter their calendar at any time but cannot activate it until July 5th. 	<input type="checkbox"/>	July 5, 2013
<p><i>Charter School Estimated Student Enrollment List Collection</i></p> <ul style="list-style-type: none"> • Enter via the Charter Estimated Counts on-line application through Common Logon. • Update each month. See Page 4 of this memo for due dates 	<input type="checkbox"/>	July 12, 2013

The Federal & State Maintenance and Operations Declaration Form (See ADE School Finance Memorandum 13-047) is due July 5, 2013 at 4:30 PM for charter holders **who have monies to report** and must be received no later than 60 days past the deadline to prevent the charter from being noncompliant. If assistance is required to submit estimated counts, please contact your School Finance Account Analyst. A list of schools and their assigned Account Analyst can be found on the School Finance website at: <http://www.azed.gov/Administrators/SF/Lists/LEAAccountAnalysts/AllItems.aspx> .